

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

67137 U.S. PTO



02/12/97

PATENT

Docket No. 224/090

Anticipated Classification of this application:
Class _____ Subclass _____

Prior application Examiner: P. Killos
Art Unit: 1204/1621

ASSISTANT COMMISSIONER FOR PATENTS
Box FWC
Washington, D.C. 20231

67212 U.S. PTO

08/799396



02/12/97

FILE WRAPPER CONTINUING APPLICATION (FWC) TRANSMITTAL (37 CFR 1.62)

1. This is a request for filing under the file wrapper continuing application procedure, 37 CFR 1.62, for a

X continuation _____ divisional _____ continuation-in-part

Attached is an amendment for added subject matter
of prior complete application Serial No. 08/141,914, filed 10/22/93.

Title (as originally filed): COMPOUNDS HAVING SELECTIVE ACTIVITY FOR RETINOID X RECEPTORS, AND MEANS FOR MODULATION OF PROCESSES MEDIATED BY RETINOID X RECEPTORS

(and as last amended) (same)

Name of applicant(s) (as originally filed and as last amended) and current correspondence address of applicant(s):

A. FULL NAME OF INVENTOR BOEHM Marcus F.
family name first given name second given name
RESIDENCE AND CITIZENSHIP San Diego California U.S.A.
city state or foreign country country of citizenship

POST OFFICE ADDRESS 3833 Lamont Street, #4E San Diego California 92109
post office address city state and zip code/country

CERTIFICATE OF MAILING (37 CFR 1.10)

I hereby certify that this FWC Transmittal (along with any documents referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as "Express Mail Post Office To Addressee" in an envelope addressed to Box FWC, Assistant Commissioner for Patents, Washington, D.C. 20231.

EM541938215US
Express Mail mailing no.

February 12, 1997
date of deposit

Denise Galindo
name of person mailing paper
Denise Galindo
signature of person mailing paper

①

to
Sent
Petition

08/141,914

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B. FULL NAME OF INVENTOR HEYMAN Richard A.
family name first given name second given name
RESIDENCE AND CITIZENSHIP San Diego California CA U.S.A.
city state or foreign country country of citizenship
POST OFFICE ADDRESS 147 Honeycomb Court Encinitas California 92024
post office address city state and zip code/country

C. FULL NAME OF INVENTOR _____
family name first given name second given name
RESIDENCE AND CITIZENSHIP _____
city state or foreign country country of citizenship
POST OFFICE ADDRESS _____
post office address city state and zip code/country

The above-identified application, in which no abandonment of or termination of proceedings has occurred, is hereby expressly abandoned as of the filing date of this new application. Please use all the contents of the prior application file wrapper, including the drawings, as the basic papers for the new application.

It is understood that secrecy under 35 U.S.C. 122 is hereby waived to the extent that if information or access is available to any one of the applications in the file wrapper of a 37 CFR 1.62 application, be it either this application or a prior application in the same file wrapper, the PTO may provide similar information or access to all the other applications in the same file wrapper.

2. INVENTORSHIP STATEMENT

X This application discloses and claims only subject matter disclosed in the prior application whose particulars are set out above and the inventor(s) in this application are

X the same.

_____ less than those named in the prior application and it is requested that the following inventor(s) identified above for the prior application be deleted
{type name(s) of inventor(s) to be deleted}

_____ This application discloses and claims additional disclosure by amendment and a new declaration or oath is being filed. With respect to the prior application whose particulars are set out above, the inventor(s) in this application are

_____ the same

_____ add the following additional inventor(s):
{type name of inventor(s) to be added}

08799393-03197

X The inventorship for all the claims in this application is

X the same.

___ not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made, is submitted.

3. **DECLARATION OR OATH**

X Continuation or divisional. None required.

___ Continuation-in-part

___ attached, executed by

___ inventor(s).

4. **IDENTIFICATION OF CLAIMS FOR FURTHER PROSECUTION**

X The fees to be charged are to be based on the number of claims remaining as a result of the

___ attached preliminary amendment.

___ the unentered amendment filed under 37 CFR 1.116 in the prior application, which is now repeated.

X the claims as on file in the prior application.

5. **FEE CALCULATION**

CLAIMS FOR FEE CALCULATION

Number Filed	Number	Extra	Rate	Basic Fee	\$770.00
Total Claims	11	- 20 = 0		x \$22.00 =	\$0.
Independent Claims	8	- 3 = 5		x \$80.00 =	\$400.00
Multiple Dependent Claim(s), if any	0			\$260.00 =	\$0.

___ The fee for extra claims is not being paid at this time.

Filing Fee Calculation **\$1170.00**

6. **SMALL ENTITY STATEMENT(S)**

___ A Verified Statement(s) that this is a filing by a small entity is(are) attached.

___ The small entity statement was filed in the parent application Serial No. _____, which parent application was filed on _____ and this status is still proper and its benefit under 37 CFR 1.28(a) is hereby claimed.

Filing Fee Calculation (50% of above) \$ _____

7. **FEE PAYMENT BEING MADE AT THIS TIME**

 X Not attached. No filing fee is submitted. [This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.]

___ Attached

___ Filing fee. \$ _____

___ Recording assignment. [\$8.00; 37 CFR 1.21(h)(1)]

___ Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached.
[\$130.00; 37 CFR 1.47 and 1.17(h)]

___ Petition fee to Suspend Prosecution for The Time Necessary to File An Amendment (New Application Filed Concurrently). [\$130.00; 37 CFR 1.103 and 1.17(i)(1)]

___ For processing an application with a specification in a non-English language. [\$30.00; 37 CFR 1.52(d) and 1.17(k)]

___ Processing and retention fee.
\$130.00; 37 CFR 1.53(d) and 1.21(l)]

Total Fees Enclosed \$ _____

8. **METHOD OF PAYMENT OF FEES**

___ Attached is a check in the amount of \$ _____.

___ Charge Deposit Account No. **12-2475** in the amount of \$ _____.

A duplicate of this transmittal is attached.

9. **AUTHORIZATION TO CHARGE ADDITIONAL FEES**

___ The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Deposit Account No. **12-2475**:

___ 37 CFR 1.16 (filing fees)

___ 37 CFR 1.16 (presentation of extra claims)

___ 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)

___ 37 CFR 1.17 (application processing fees)

___ 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b))

10. **INSTRUCTIONS AS TO OVERPAYMENT**

___ Credit Deposit Account No. **12-2475**.

___ Refund

11. **PRIORITY -- 35 U.S.C. 119**

___ Priority of application Serial No. _____, filed on _____ in {country} is claimed under 35 U.S.C. 119.

___ The certified copy has been filed on _____ in prior U.S. application Serial No. 0 / _____, filed on _____, which prior application was filed on _____.

___ Certified copy will follow.

12. **RELATE BACK -- 35 U.S.C. 120**

X Amend the Specification by inserting, before the first line, the sentence:

This is a _____ divisional X continuation _____ continuation-in-part of co-pending application(s) Serial No. 08/141,914, filed on 10/22/93, now abandoned, which is

13. **ASSIGNMENT**

X The prior application is assigned of record to LIGAND PHARMACEUTICALS INCORPORATED.

___ An Assignment of the invention to _____ is attached.

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14. **POWER OF ATTORNEY**

___ The power of attorney in the prior application is to

X The power of attorney in the prior application is to the registered attorneys listed below and members of or associates in the law firm of **LYON & LYON LLP**, 633 West Fifth Street, Suite 4700, Los Angeles, California 90071-2066, Registration No. **11,611**, whose members are all admitted to the Bar of the State of California:

Roland N. Smoot	Reg. No. 18,718	David B. Murphy	Reg. No. 31,125
Conrad R. Solum, Jr.	Reg. No. 20,467	James C. Brooks	Reg. No. 29,898
James W. Geriak	Reg. No. 20,233	Jeffrey M. Olson	Reg. No. 30,790
Robert M. Taylor, Jr.	Reg. No. 19,848	Steven D. Hemminger	Reg. No. 30,755
Samuel B. Stone	Reg. No. 19,297	Jerrold B. Reilly	Reg. No. 32,293
Douglas E. Olson	Reg. No. 22,798	Paul H. Meier	Reg. No. 32,274
Robert E. Lyon	Reg. No. 24,171	John A. Rafter, Jr.	Reg. No. 31,653
Robert C. Weiss	Reg. No. 24,939	Kenneth H. Ohriner	Reg. No. 31,646
Richard E. Lyon, Jr.	Reg. No. 26,300	Mary S. Consalvi	Reg. No. 32,212
John D. McConaghy	Reg. No. 26,773	Lois M. Kwasigroch	Reg. No. 35,579
William C. Steffin	Reg. No. 26,811	Lawrence R. LaPorte	Reg. No. 38,948
Coe A. Bloomberg	Reg. No. 26,605	Robert C. Laurenson	Reg. No. 34,206
J. Donald McCarthy	Reg. No. 25,119	Carol A. Schneider	Reg. No. 34,923
John M. Benassi	Reg. No. 27,483	Hope E. Melville	Reg. No. 34,874
James J. Shalek	Reg. No. 29,749	Michael J. Wise	Reg. No. 34,047
Allan W. Jansen	Reg. No. 29,035	Richard J. Warburg	Reg. No. 32,327
Robert W. Dickerson	Reg. No. 29,914		
Roy L. Anderson	Reg. No. 30,240		

X The power appears in the original papers in the prior application.

___ The power does not appear in the original papers, but was filed on ____.

___ A new power has been executed and is attached.

X Address all future communications to:

LYON & LYON LLP
633 West Fifth Street, Suite 4700
Los Angeles, California 90071-2066
(213) 489-1600

(Attention: Hope E. Melville, Esq.)

15. **MAINTENANCE OF CO-PENDENCY OF PRIOR APPLICATION**

___ A petition, fee and response has been filed to extend the term in the pending **prior** application until _____. A copy of the petition for extension of time in the **prior** application is attached.)

16. **CONDITIONAL PETITIONS FOR EXTENSION OF TIME IN PRIOR APPLICATION**

___ A conditional petition for extension of time is being filed in the pending **prior** application. A copy of the conditional petition for extension of time in the **prior** application is attached.

17. **ABANDONMENT OF PRIOR APPLICATION**

X Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time or to revive in that application is granted and when this application is granted a filing date so as to make this application co-pending with said prior application. At the same time, please add the words "now abandoned" to the amendment of the specification set forth in Item 13 above.

18. **INFORMATION DISCLOSURE STATEMENT**

X Submitted herewith is an Information Disclosure Statement.

19. **PETITION PURSUANT TO 37 CFR § 1.313(b)(5)**

X Submitted concurrently is a Petition pursuant to 37 CFR § 1.313(b)(5) to permit withdrawal of the prior application and filing of this FWC application to permit consideration of an IDS.

Respectfully submitted,

By



Hope E. Melville
Reg. No. 34,874
Attorney of Record

LYON & LYON LLP
633 West Fifth Street, Suite 4700
Los Angeles, California 90071-2066
(213) 489-1600